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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/472,762	12/27/1999	CARL H. HAUSER	D/99477	9175

7590 10/14/2003

PATENT DOCUMENTATION  
XEROX CORPORATION  
100 CLINTON AVE. S., XEROX SQ. 20TH FLOOR  
ROCHESTER, NY 14644

EXAMINER

LIN, KENNY S

ART UNIT	PAPER NUMBER
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2154

9

DATE MAILED: 10/14/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/472,762

Applicant(s)

HAUSER, CARL H.

Examiner

Kenny Lin

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 06 August 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-8 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-8 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_ 6) ☐ Other: \_\_\_\_\_

**DETAILED ACTION**

1. Claims 1-8 are presented for examination.

**Claim Rejections - 35 USC § 102**

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. Claims 1, 3 and 5 are rejected under 35 U.S.C. 102(b) as being anticipated by Unger et al (hereinafter Unger), US Patent 5,721,910.

4. As per claims 1, 3 and 5, Unger taught the invention substantially as claimed including a computer-implemented method/computer program product having a computer-readable medium holding computer-executable instructions for performing a method for managing personal documents (col.2, lines 58-63, col.13, lines 2-15), comprising

- a. loading a document into storage, said document having a category (col.2, lines 58-65);
- b. determining the document category (col.3, lines 9-15);
- c. receiving at least one processing rule, wherein the rule is associated with the document category (col.3, lines 22-28, col.4, lines 44-57, col.7, lines 40-46); and

- d. processing the document according to the processing rule (col.3, lines 22-28, col.4, lines 44-57, col.7, lines 40-46).

### **Claim Rejections - 35 USC § 103**

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claim 7 is rejected under 35 U.S.C. 103(a) as being unpatentable over Unger et al (hereinafter Unger), US Patent 5,721,910.

7. As per claim 7, Unger taught the invention substantially as claimed including a method comprising:

- a. Accessing, on the one or more first computers, computer-executable instructions, which when executed by a computer (col.2, lines 58-63, col.13, lines 2-15), perform the steps of:
  - i. loading a document into storage, said document having a category (col.2, lines 58-65);
  - ii. receiving at least one processing rule, wherein the rule is associated with the document category (col.3, lines 22-28, col.4, lines 44-57, col.7, lines 40-46); and

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- iii. processing the document according to the processing rule (col.3, lines 22-28, col.4, lines 44-57, col.7, lines 40-46).

8. Unger did not specifically teach the system to transfer the computer-executable instructions from the one or more first computers to the second computer connected to the one or more first computer through a communications medium. However, Unger taught that the method can be implemented in a computer system (col.4, lines 33-43). It is well known in the art to transfer data files, executable programs from one computer to another through a medium in a computer system. It would have been obvious to one of ordinary skill in the art at the time the invention was made to allow users to transfer the computer-executable instruction contained in Unger's system from one computer to another through a communication medium for sharing purposes.

9. Claims 2, 4, 6 and 8 are rejected under 35 U.S.C. 103(a) as being unpatentable over Unger et al (hereinafter Unger), U.S. Patent 5,721,910, in view of MacPhail, U.S. Patent 5,107,419.

10. MacPhail was cited on the previous office action.

11. As per claims 2, 4, 6 and 8, Unger taught the invention substantially as claimed in claims 1, 3, 5 and 7. Unger did not specifically teach the processing rule to include retention criteria for determining how long to save the document. MacPhail taught a document classification system

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to have the processing rule to include retention criteria for determining how long to save the document (col.1, lines 59-63, col.3, lines 6-9, 19-21, 26-33). It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Unger and MacPhail because MacPhail's teaching of using retention criteria to determine whether the documents stored in the document storage exceeds expiration date can help the processing rule in Unger's system to automatically delete the documents that are no longer needed to save system storing space (col.1, lines 59-63).

### **Conclusion**

12. Applicant's arguments with respect to claims 1-8, filed on 8/6/2003 have been considered but are moot in view of the new ground(s) of rejection.

13. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Kudoh et al, US 5,948,058.

Wical, US 6,240,410.

14. A shortened statutory period for reply to this Office action is set to expire THREE MONTHS from the mailing date of this action.

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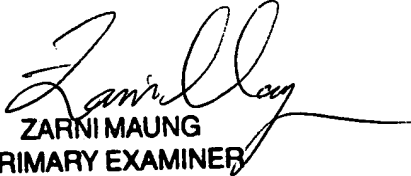
15. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kenny Lin whose telephone number is (703)305-0438. The examiner can normally be reached on 8 AM to 5 PM Tuesday to Friday and every other Monday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Meng-Ai An can be reached on (703)305-9678. Additionally, the fax numbers for Group 2100 are as follows:

Official Responses: (703) 872-9306

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703)305-6121.

ksl  
October 8, 2003

  
ZARNI MAUNG  
PRIMARY EXAMINER

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